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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 10/804513 : Confirmation No.: 7652  
Applicant : Peng Zhang, et al  
Filed : 8/12/2002  
For : Process Solutions Containing Surfactants  
  
Art Unit : 1751  
Examiner : Gregory E. Webb  
  
Docket No. : 06293P3 USA  
Customer No. : 23543

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. 1.97(c)

The information disclosure statement transmitted herewith is being filed **after** the period specified in § 1.97(b) but **before** the mailing date any of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application.

Accompanying this transmittal is

- ☒ a statement as specified in 35 C.F.R. 1.97(e)  
or  
☐ the fee set forth in 37 C.F.R. 1.17(p).

Respectfully submitted,

Joseph D. Rossi  
Joseph D. Rossi  
Attorney for Applicant(s)  
Registration No. 47,038

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**STATEMENT FOR INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. 1.97(e)**

This statement is being made for the Information Disclosure statement  
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or

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I, the person(s) signing below, state:

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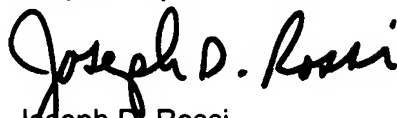
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☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in § 1.56(c) more than three months prior to the filing of the statement. 37 CFR 1.97(e)(2).

The person making this statement is the attorney/agent who signs below on the basis of the information:

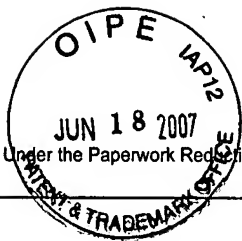
- ☐ supplied by the inventor(s).
- ☐ supplied by an individual designated in § 1.56(c).
- ☒ in the attorney's file.

Respectfully submitted,



Joseph D. Rossi  
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PTO/SB/08a (08-03)

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10616662
Filing Date	2002-08-12
First Named Inventor	Peng Zhang
Art Unit	1751
Examiner Name	Gregory E. Webb
Attorney Docket Number	06293P3 USA

**U.S.PATENTS**

Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	4833067		1989-05-23	Hatsuyuki Tanaka, et al	
	2	5650543		1997-07-22	Steven W. Medina	
	3	5756267		1998-05-26	Nobuaki Matsuda, et al	
	4	5977041		1999-11-02	Kenji Honda	
	5	6261745	B1	2001-07-17	Masahito Tanabe, et al	

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**U.S.PATENT APPLICATION PUBLICATIONS**

Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	2002016272	A1	2002-02-07	Masahiko Kakizawa, et al	

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**FOREIGN PATENT DOCUMENTS**

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Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup> i	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
	1	1095988	EP	A2	2001-05-02	Air Products and Chemicals, Inc.		<input type="checkbox"/>
	2	1115033	EP	A1	2001-07-11	Air Products and Chemicals, Inc.		<input type="checkbox"/>
	3	1115035	EP	A1	2001-07-11	Air Products and Chemicals, Inc.		<input type="checkbox"/>
	4	1277829	EP	A2	2003-01-22	Air Products and Chemicals, Inc.		<input type="checkbox"/>
	5	1297876	EP	A2	2003-04-02	Air Products and Chemicals, Inc.		<input type="checkbox"/>
	6	1389745	EP	A1	2004-02-18	Air Products and Chemicals, Inc.		<input type="checkbox"/>
	7	02/23598	WO	A2	2002-03-21	Infineon Technologies North America Corp.		<input type="checkbox"/>

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**NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>
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Art Unit	1751
Examiner Name	Gregory E. Webb
Attorney Docket Number	06293P3 USA

**EXAMINER SIGNATURE**

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.

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**CERTIFICATION STATEMENT**

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☒ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

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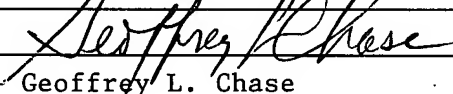
☐ See attached certification statement.

☐ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☐ None

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature		Date (YYYY-MM-DD)	2007-06-15
Name/Print	Geoffrey L. Chase	Registration Number	28059

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**